

BROKER TO BROKER TRANSFER AUTHORITY FORM - OPTIONS

Please complete this form if you wish to transfer Options Positions from another Broker to Penson Financial Services Australia Pty Ltd (**Penson**).

Important: PLEASE ATTACH A COPY OF YOUR LATEST POSITION STATEMENT

1. ACCOUNT DETAILS

Name in which account is held with Austock/ Penson

Account Number

(Internal Use Only)

2. EXISTING BROKER DETAILS (Transferring Broker)

For your transfer to be successful, your registration details (i.e. your name and address) on this form must agree with the details on your account with Austock / Penson. If not, you will need to advise your existing Broker of any changes before we can process this transfer.

Registered name and address as recorded on your latest Statement

Account Designation or Trust (if applicable) eg: <X&Y Superfund A/C>

Name of existing broker

Account Number

Holder Identification Number (HIN)

Broker PID

Please select one option:

- Please transfer ALL Options from existing broker to Penson (PID 1791); **or**
- Please transfer only those positions shown in the attached statement /confirmation note from existing broker to Penson (PID 1791); **or**
- Please transfer only those positions listed below from existing broker to Penson (PID 1791)

Option Positions to be transferred

Call / Put, Expiry Month, Strike	Quantity	Trade Price

Attach a separate sheet if additional option positions are required to be transferred

Agreement:

I/we authorise Penson to transfer the existing Options Positions as detailed above to my/our Austock / Penson account

Signature of Account Holders Requesting Transfer*:

Full name	Signature	Date
		/ /

Full name	Signature	Date
		/ /

Full name	Signature	Date
		/ /

*ALL ACCOUNT HOLDERS MUST SIGN. FOR COMPANY ACCOUNTS, EACH DIRECTOR / SECRETARY MUST SIGN